

Securities Compliance Day '06

Tuesday, September 26, 2006

Tentative Agenda

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| 8:00 – 9:00 a.m. | Registration/Continental Breakfast |
| 9:00 – 9:10 a.m. | Greetings/Housekeeping Issues (Linda Cena) |
| 9:10 – 9:30 a.m. | Opening Remarks (Commissioner Watters) |
| 9:30 – 10:15 a.m. | Keynote Speaker “Identifying Financial Crimes and Assisting Elderly Victims” (David Kessler – Ohio Attorney General’s Office) |
| 10:15 – 10:30 am | Break |
| 10:30 – Noon | Panel Discussion - Investment Needs for Baby Boomers and Beyond <u>Moderator:</u> Tom Robertson <ol style="list-style-type: none">1. Susan Tompor - Detroit Free Press Columnist2. Don Blandin – Investor Protection Trust3. Scott Burnett – Jackson National Life4. David Kessler – Ohio Attorney General's Office |
| Noon – 1:00 pm | Lunch |
| 1:00 – 4:45 pm | Breakout Sessions Track I – Broker-Dealers Track II – Investment Advisers |
| <u>Track I – Broker-Dealers</u> | |
| 1:00 – 2:00 pm | Current Regulatory/Enforcement Issues (Mark Koerner, Regional Chief Counsel, NASD Enforcement) |
| 2:00 – 4:15 pm | Panel Discussion - Electronic Recordkeeping and Written Supervisory Procedures: <u>Moderator:</u> Hugh Makens <ol style="list-style-type: none">1. Mark Koerner- NASD2. William Alsover - Centennial Securities3. Elliot Spoon – Michigan State University4. Chad Hartwick – State of Michigan, Securities Section |

3:00 – 3:15 pm Break (Afternoon Refreshments)

4:15 – 4:45 pm Q & A's

Track II – Investment Advisers

**1:00 – 2:00 pm Examination Trends and Issues
(Michael Huggs – Chair, NASAA's IA Operations
Project Group)**

**2:00 – 4:15 pm Panel Discussion - Contracts, ADV II, Written
Supervisory Procedures and Finder Designation:
Moderator: Shane Hansen
1. Michael Huggs – Mississippi Secretary of State
2. Beth Dickinson – Dickinson Regulatory Alliance, LLC
3. Lindsay DeRosia– State of Michigan, Securities Section**

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